



TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(d))

Docket No.
12351-US

In Re Application Of: **Muthukumaran Packirisamy et al.**

Serial No.
09/986,828

Filing Date
November 13, 2001

Examiner
Ellen E. Kim

Group Art Unit
2874

Title: **PLANAR WAVEGUIDE ECHELLE GRATING WITH ASTIGMATIC GRATING FACETS**

Address to:
Assistant Commissioner for Patents
Washington, D.C. 20231

1. The Information Disclosure Statement submitted herewith is being filed after a Final Action under Section 1.113, or a Notice of Allowance under Section 1.311, whichever occurs first, but before, or simultaneously with, the payment of the issue fee. Submitted herewith is a certification as specified in 37 CFR 1.97(e).
2. Applicant hereby petitions for consideration of the Information Disclosure Statement submitted herewith. The Petition Fee specified in 37 CFR 1.17(i) is to be paid as follows:

- ☒ A check in the amount of **\$180.00** is attached,
☐ Charge Deposit Account No. _____ in the amount of _____
A duplicate of this sheet is attached.

Certificate of Transmission by Facsimile*

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. _____) on _____
(Date)

Signature

Typed or Printed Name of Person Signing Certificate

Certificate of Mailing by First Class Mail

I certify that this document and fee is being deposited on _____ with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

Typed or Printed Name of Person Mailing Correspondence

*This certificate may only be used if paying by deposit account.


Signature

Richard J. Mitchell
34,519

MARKS & CLERK
P.O. Box 957, Station B
Ottawa, ON, K1P 5S7
CANADA

Dated: January 7, 2004

01/14/2004 MBELETE1 00000079 09986828
01 FC:1806 180.00 OP

CC:



PTO/SB/17 (10-03)

Approved for use through 07/31/2006. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 180.00

Complete if Known

Application Number	09/986,828
Filing Date	November 13, 2001
First Named Inventor	Muthukumaran Packirisamy
Examiner Name	Ellen E. Kim
Art Unit	2874
Attorney Docket No.	12351-US

METHOD OF PAYMENT (check all that apply)☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit
Account
Number
Deposit
Account
Name

13-1717

Marks & Clerk

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	0
1002	340	2002	170	Design filing fee	0
1003	530	2003	265	Plant filing fee	0
1004	770	2004	385	Reissue filing fee	0
1005	160	2005	80	Provisional filing fee	0
SUBTOTAL (1)					0

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

		Extra Claims		Fee from below		Fee Paid	
Total Claims		-20** =	X	0	=	0	
Independent Claims		-3** =	X <td>0<td>=<td>0<td></td></td></td></td>	0 <td>=<td>0<td></td></td></td>	= <td>0<td></td></td>	0 <td></td>	
Multiple Dependent				0 <td>=<td>0<td></td></td></td>	= <td>0<td></td></td>	0 <td></td>	

Large Entity		Small Entity		Fee Description	
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	86	2201	43	Independent claims in excess of 3	
1203	290	2203	145	Multiple dependent claim, if not paid	
1204	86	2204	43	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	0
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	0
1053	130	1053	130	Non-English specification	0
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	0
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	0
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	0
1251	110	2251	55	Extension for reply within first month	0
1252	420	2252	210	Extension for reply within second month	0
1253	950	2253	475	Extension for reply within third month	0
1254	1,480	2254	740	Extension for reply within fourth month	0
1255	2,010	2255	1,005	Extension for reply within fifth month	0
1401	330	2401	165	Notice of Appeal	0
1402	330	2402	165	Filing a brief in support of an appeal	0
1403	290	2403	145	Request for oral hearing	0
1451	1,510	1451	1,510	Petition to institute a public use proceeding	0
1452	110	2452	55	Petition to revive - unavoidable	0
1453	1,330	2453	665	Petition to revive - unintentional	0
1501	1,330	2501	665	Utility issue fee (or reissue)	0
1502	480	2502	240	Design issue fee	0
1503	640	2503	320	Plant issue fee	0
1460	130	1460	130	Petitions to the Commissioner	0
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	0
1806	180	1806	180	Submission of Information Disclosure Stmt	180.00
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	0
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	0
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	0
1801	770	2801	385	Request for Continued Examination (RCE)	0
1802	900	1802	900	Request for expedited examination of a design application	0

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 180.00

SUBMITTED BY

(Complete (if applicable))

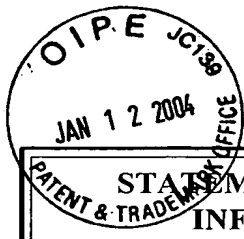
Name (Print/Type)	Richard J. Mitchell	Registration No. (Attorney/Agent)	34,519	Telephone	(613) 236-9561
Signature		Date	01/07/2004		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



**STATEMENT UNDER 37 CFR 1.97(e) ACCOMPANYING
INFORMATION DISCLOSURE STATEMENT**

Docket No.
12351-US

In Re Application Of: **Muthukumaran Packirisamy et al.**

Serial No.
09/986,828

Filing Date
November 13, 2001

Examiner
Ellen E. Kim

Group Art Unit
2874

Invention: **PLANAR WAVEGUIDE ECHELLE GRATING DEVICE WITH ASTIGMATIC GRATING FACETS**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

This is a statement under the provisions of 37 CFR 1.97(e) in the above-identified application.

Check applicable statement herebelow:

Statement Under 37 CFR 1.97(e)(1)

- ☒ Each item of information contained in the accompanying information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

Statement Under 37 CFR 1.97(e)(2)

- ☐ No item of information contained in the accompanying information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and; to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement.


Signature

Dated: **January 7, 2004**

Richard J. Mitchell
34,519

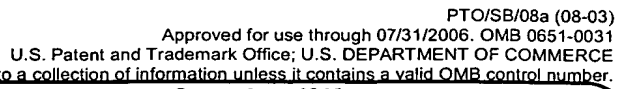
MARKS & CLERK
P.O. Box 957, Station B
Ottawa, ON, K1P 5S7
CANADA

I certify that this document is being deposited on
with the U.S. Postal Service as first
class mail under 37 C.F.R. 1.8 and is addressed to the
Assistant Commissioner for Patents, Washington, D.C.
20231.

Signature of Person Mailing Correspondence

Typed or Printed Name of Person Mailing Correspondence

CC:



Complete if Known

Application Number	09/986,828
Filing Date	13 November 2001
First Named Inventor	Muthukumaran PACKIRISAMY
Art Unit	2874
Examiner Name	Ellen E. Kim
Attorney Docket Number	12351-US

Sheet	1	of	1
-------	---	----	---

[illegible]

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ *Number ⁴ *Kind Code ⁵ <i>(if known)</i>				
		EP 0 250 824 A1	01-07-1988			

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.